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Date of Deposit: April 19, 2001

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PATENT APPLICATION  
Attorney Docket No.: 24631-501

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APR 19 2002  
PATENT & TRADEMARK OFFICE  
O P E R A T I O N S

APPLICANT(S): Harry A. Kaplan et al.  
SERIAL NO.: 10/043,899  
FILING DATE: January 11, 2002  
FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL  
PRODUCTS OVER A COMPUTER NETWORK

April 19, 2002  
Boston, Massachusetts

BOX IDS  
Commissioner for Patents  
Washington, D.C. 20231

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APR 24 2002  
Technology Center 2100

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing in the present application are the following documents:

- Information Disclosure Statement
- Modified Form 1449
- Return Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at 212/692-6803, New York, New York.

A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Brian P. Hopkins

Brian P. Hopkins  
Registration No. 42,669  
Attorney for Applicants  
MINTZ, LEVIN, COHN, FERRIS  
GLOVSKY AND POPEO, P.C.  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241



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PATENT TRADEMARK OFFICE

APR 19 2002

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Harry A. Kaplan et al.

SERIAL NUMBER: 10/043,899

EXAMINER: TBA

FILING DATE: January 11, 2002

ART UNIT: 2164

FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL PRODUCTS  
OVER A COMPUTER NETWORK

April 19, 2002

Boston, Massachusetts

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Commissioner for Patents  
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants hereby make of record the documents listed below and on the attached modified Form PTO-1449 (submitted in duplicate) in the above-identified application, copies of which are submitted herewith. The order of presentation of the references should not be construed as an indication of the importance of the references.

**U.S. Patent Documents:**

5,890,138

6,021,398

6,151,589

A copy of each of the above-identified documents is enclosed unless otherwise indicated on the attached Form PTO-1449 (modified). It is respectfully requested that the Examiner consider the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims, and signs the enclosed form PTO-1449 to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application.

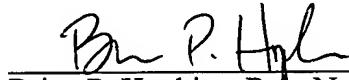
By submitting this Information Disclosure Statement, the Applicant makes no representation that: (1) a search has been performed, of the extent of any search performed, or that more relevant information does not exist; (2) the information cited in the Statement is, or is

APPLICANTS: **Harry A. Kaplan et al.**  
U.S.S.N.: **10/043,899**

considered to be, material to patentability as defined in 37 C.F.R. §1.56(b); and (3) the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his/her own conclusion regarding the relevance of the cited information. An early and favorable action is hereby requested. Please charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 24631-501.

Respectfully submitted,

  
\_\_\_\_\_  
Brian P. Hopkins, Reg. No. 42,669  
Attorney for Applicants  
c/o Mintz, Levin, Cohn Ferris,  
Glovsky and PoPeo, P.C.  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241

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|-----------------------------------|------------------------|------------------------|
| Modified Form 1449/PTO            | Application Number     | 10/043,899             |
| O I P E                           | Filing Date            | January 11, 2002       |
| INFORMATION DISCLOSURE            | First Named Inventor   | Harry A. Kaplan et al. |
| STATEMENT BY APPLICANT            | Group Art Unit         | 2164                   |
| APR 19 2002                       | Examiner Name          | TBA                    |
| (Use as many sheets as necessary) | Attorney Docket Number | 24631-501              |

#### OTHER NON PATENT LITERATURE DOCUMENTS

\* a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, U.S.S.N. \_\_\_\_\_, filed \_\_\_\_\_, and relied upon for an earlier filing date under 35 U.S.C. §120 (continuation, continuation-in-part, and divisional applications).

|                       |  |                    |  |
|-----------------------|--|--------------------|--|
| Examiner<br>Signature |  | Date<br>Considered |  |
|-----------------------|--|--------------------|--|

**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.